

IN THE  
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Bin ZHANG

Confirmation No.:

Application No.: Unassigned

Examiner:

Filing Date: Herewith

Group Art Unit:

Title: DATA MINING METHOD AND SYSTEM USING REGRESSION CLUSTERING

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- ☒ under 37 CFR 1.97(b), or  
(Within three months of filing national application; or date of entry of national application; or before mailing date of first office action on the merits; whichever occurs last)
- ☐ under 37 CFR 1.97(c) together with either a:  
☐ Statement under 37 CFR 1.97(e), or  
☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(After the CFR 1.97 (b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97 (d) together with a:  
☐ Statement under 37 CFR 1.97(e)(1) or (2), and  
☐ a \$180.00 fee set forth in 37 CFR 1.17(p).  
(Filed after final action, a notice of allowance, on or before payment of the issue fee)

Please charge to Deposit Account **08-2025** the sum of \$0.00. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account **08-2025** pursuant to 37 CFR 1.25.

☒ Applicant(s) submit herewith Form PTO 1449 - Information Disclosure Statement together with any required copies of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

☐ A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individuals(s) designated in 37 CFR 1.56 (c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

It is requested that the information disclosed herein be made of record in this application.

"Express Mail" label no. EV303486430US

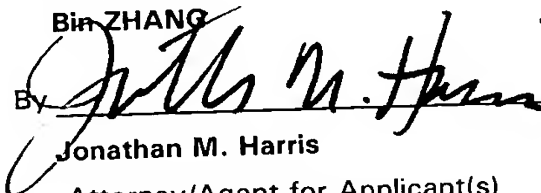
Date of Deposit 10/27/2003

I hereby certify that this is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: Commissioner for Patents, Alexandria, VA 22313-1450

By

Typed Name: Colleen F. Brown

Respectfully submitted,

Bin ZHANG  
By   
Jonathan M. Harris  
Attorney/Agent for Applicant(s)  
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Date: 10/27/2003

Telephone No.: (713) 238-8045

FORM PTO-1449

**LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENT**

(Use several sheets if necessary)

ATTY. DOCKET NO.

**200310832-1**

APPLICATION NO.

CONFIRMATION NO.

APPLICANT

**Bin ZHANG**

FILING DATE

**Herewith**

GROUP

**REFERENCE DESIGNATION**

**U.S. PATENT DOCUMENTS**

| EXAMINER<br>INITIAL |    | DOCUMENT<br>NUMBER | PUBLICATION<br>DATE | NAME           | Pages, Columns, Lines Where<br>Relevant Passages or Figures Appear |
|---------------------|----|--------------------|---------------------|----------------|--|
|                     | 1A | 6,269,376          | 07/31/2001          | Dhillon et al. |  |
|                     | 1B | 6,374,251          | 04/16/2002          | Fayyad et al.  |  |
|                     | 1C | 2002/0129038       | 09/12/2002          | Cunningham     |  |
|                     | 1D |                    |                     |                |  |
|                     | 1E |                    |                     |                |  |
|                     | 1F |                    |                     |                |  |
|                     | 1G |                    |                     |                |  |
|                     | 1H |                    |                     |                |  |
|                     | 1I |                    |                     |                |  |
|                     | 1J |                    |                     |                |  |
|                     | 1K |                    |                     |                |  |

**FOREIGN PATENT DOCUMENTS**

|  |    | DOCUMENT<br>NUMBER | PUBLICATION<br>DATE | NAME OF PATENTEE<br>OR APPLICANT | Pages/Columns/Lines Where<br>Relevant Passages/Figures Appear | Check if<br>Translation<br>attached |
|--|----|--------------------|---------------------|----------------------------------|---|-------------------------------------|
|  | 1L |                    |                     |                                  |   |                                     |
|  | 1M |                    |                     |                                  |   |                                     |
|  | 1N |                    |                     |                                  |   |                                     |
|  | 1O |                    |                     |                                  |   |                                     |
|  | 1P |                    |                     |                                  |   |                                     |

**OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)**

|    |  |
|----|--|
| 1Q | W. S. DeSarbo et al., "A Maximum Likelihood Methodology for Clusterwise Linear Regression,"<br>Journal of Classification, Volume 5, 1998, pages 249-282. |
| 1R | C. Henning, "Models and Methods for Clusterwise Linear Regression," undated, pages 1-9.  |
| 1S | C. Henning, "Regression Fixed Point Clusters: Motivation, Consistency and Simulations," February<br>20, 2000, pages 1-49.                                |

EXAMINER

DATE CONSIDERED